



**PATENT**  
Attorney Docket No. 403034  
Client Reference No. A 100676 g

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Wilfried ENSINGER

Group Art Unit: 1763

Application No. 10/814,587

Examiner: Unassigned

Filed: April 1, 2004

For: RETAINING RING FOR HOLDING  
SEMICONDUCTOR WAFERS IN A  
CHEMICAL MECHANICAL  
POLISHING APPARATUS

**INFORMATION DISCLOSURE STATEMENT**

U.S. Patent and Trademark Office  
220 20th Street S. Customer Window, Mail Stop  
Commissioner for Patents  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, VA 22202

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:
  - the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).
  - or*
  - the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).
- after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).
- after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

#### Copies of the References

- Copies of the references listed on the enclosed Form 1449 are enclosed herewith.
- This patent application was filed after June 30, 2003. Accordingly, copies of U.S. patents and patent applications that are listed on the accompanying Form 1449 are not enclosed herewith (see Official Gazette Notice of August 5, 2003). Copies of other references identified on the accompanying Form 1449 are enclosed herewith.
- Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).

- Copies of the foreign search reports PCT/EP03/10868 and PCT/EP03/10869 are enclosed herewith.
- The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

| U.S. APPLICATIONS |                   | Status ( <i>check one</i> ) |         |           |
|-------------------|-------------------|-----------------------------|---------|-----------|
| U.S. APPLICATIONS | U.S. FILING DATE  | PATENTED                    | PENDING | ABANDONED |
| 1. 10/322,427     | December 19, 2002 |                             | X       |           |
| 2.                |                   |                             |         |           |
| 3.                |                   |                             |         |           |

**Statement under 37 CFR 1.97(e)**

- The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

**Statement under 37 CFR 1.704(d)**

- The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- No fee** is owed by the applicant(s).
- The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

**Method of Payment of Fees**

Attached is a check in the amount of \$ .  
 Charge Deposit Account No. 12-1216 in the amount of \$ . (A duplicate copy of this communication is enclosed for that purpose.)

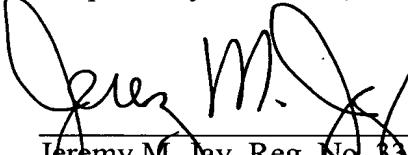
**Authorization to Charge Additional Fees**

If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

**Instructions as to Overpayment**

Credit Account No. 12-1216.  
 Refund

Respectfully submitted,



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Date: 17 Aug. 2004

Please type a plus sign (+) inside this box →

AUG 17 2004

|                                 |   |    |   |                          |                   |
|---------------------------------|---|----|---|--------------------------|-------------------|
| Substitute for form 1449A/B/PTO |   |    |   | <b>Complete if Known</b> |                   |
|                                 |   |    |   | Application Number       | 10/814,587        |
|                                 |   |    |   | Filing Date              | April 1, 2004     |
|                                 |   |    |   | First Named Inventor     | Wilfried ENSINGER |
|                                 |   |    |   | Group Art Unit           | 1763              |
|                                 |   |    |   | Examiner Name            | Unassigned        |
| Sheet                           | 1 | of | 1 | Attorney Docket Number   | 403034/HOEGER     |

#### U.S. PATENT DOCUMENTS

| Examiner Initials | Doc. No. | U.S. Patent Document         |           | Name of Patentee or Applicant | Date of Publication | Filing Date If Appropriate |
|-------------------|----------|------------------------------|-----------|-------------------------------|---------------------|----------------------------|
|                   |          | Application or Patent Number | Kind Code |                               |                     |                            |
|                   | A 1      | 4,212,137                    |           | Rue                           | 7/15/1980           |                            |
|                   | A 2      | 5,643,061                    |           | Jackson et al.                | 7/1/1997            |                            |
|                   | A 3      | 5,695,392                    |           | Kim Inki                      | 12/9/1997           |                            |
|                   | A 4      | 5,993,302                    |           | Chen et al.                   | 11/30/1999          |                            |
|                   | A 5      | 6,030,280                    |           | Fruitman Clinton              | 2/29/2000           |                            |
|                   | A 6      | 6,068,548                    |           | Vote et al.                   | 5/30/2000           |                            |
|                   | A 7      | 6,186,880                    |           | Gonzalez et al.               | 2/13/2001           |                            |
|                   | A 8      | 6,251,215 B1                 |           | Zuniga et al.                 | 6/26/2001           | 6/3/1998                   |
|                   | A 9      | 6,264,540                    |           | Fruitman                      | 7/24/2001           |                            |
|                   | A 10     | 6,277,008                    |           | Masuta et al.                 | 8/21/2001           |                            |
|                   | A 11     | 6,354,927                    |           | Natalicio                     | 3/12/2002           |                            |
|                   | A 12     | 6,390,904                    |           | Gleason et al.                | 5/21/2002           |                            |
|                   | A 13     | 6,390,908                    |           | Chen et al.                   | 5/21/2002           |                            |
|                   | A 14     | 6,439,984                    |           | Andres Todd                   | 8/27/2002           |                            |
|                   | A 15     | 6,471,566                    |           | Mikhaylich et al.             | 10/29/2002          |                            |
|                   | A 16     | 6,585,850                    |           | Kenji et al.                  | 7/1/2003            |                            |
|                   | A 17     | 2002/0049030                 |           | Numoto et al.                 | 4/25/2002           |                            |
|                   | A 18     | 10/322,428                   |           | Wilfried Ensinger             |                     | 12/19/2002                 |

#### FOREIGN PATENT DOCUMENTS

| Examiner Initials | Doc. No. | Foreign Patent Document |                              |           | Name of Patentee or Applicant | Date of Publication | Translation |      |
|-------------------|----------|-------------------------|------------------------------|-----------|-------------------------------|---------------------|-------------|------|
|                   |          | Office                  | Application or Patent Number | Kind Code |                               |                     | Yes         | No** |
|                   | A 19     | EP                      | 0 747 167                    |           | Applied Materials, Inc.       | 12/11/1996          |             |      |
|                   | A 20     | EP                      | 0 841 123                    |           | Applied Materials, Inc.       | 5/13/1998           |             |      |
|                   | A 21     | DE                      | 198 27 308                   |           | Hans-Joachim Philipps         | 12/30/1999          | X*          |      |
|                   | A 22     | JP                      | 2001121411                   |           | Applied Materials Inc.        | 5/8/2001            | X*          |      |

#### OTHER - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Doc. No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published. |      |  | Translation |
|-------------------|----------|--|------|--|-------------|
|                   |          | Yes  | No** |  |             |
|                   | A 23     | "Mubux-A® Einpress-GewindeEinsatz/Gewindestift...", Kerb Konus, pages 15-16  |      |  | X           |
|                   | A 24     | "Soniclok® - Gewinde-Enwsatz und Gewinde-Stift...", Kerb Konus, pages 22-23  |      |  | X           |
|                   | A 25     | "der Ensat® - selbstschneidender GewindeEinsatz...", Kerb Konus, pages 4-5, and 8  |      |  | X           |
|                   | A 26     | Kerb-Konus Data Sheet, 2 pages   |      |  | X           |

| Examiner Signature | Date Considered |
|--------------------|-----------------|
|                    |                 |

\* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

+ An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).